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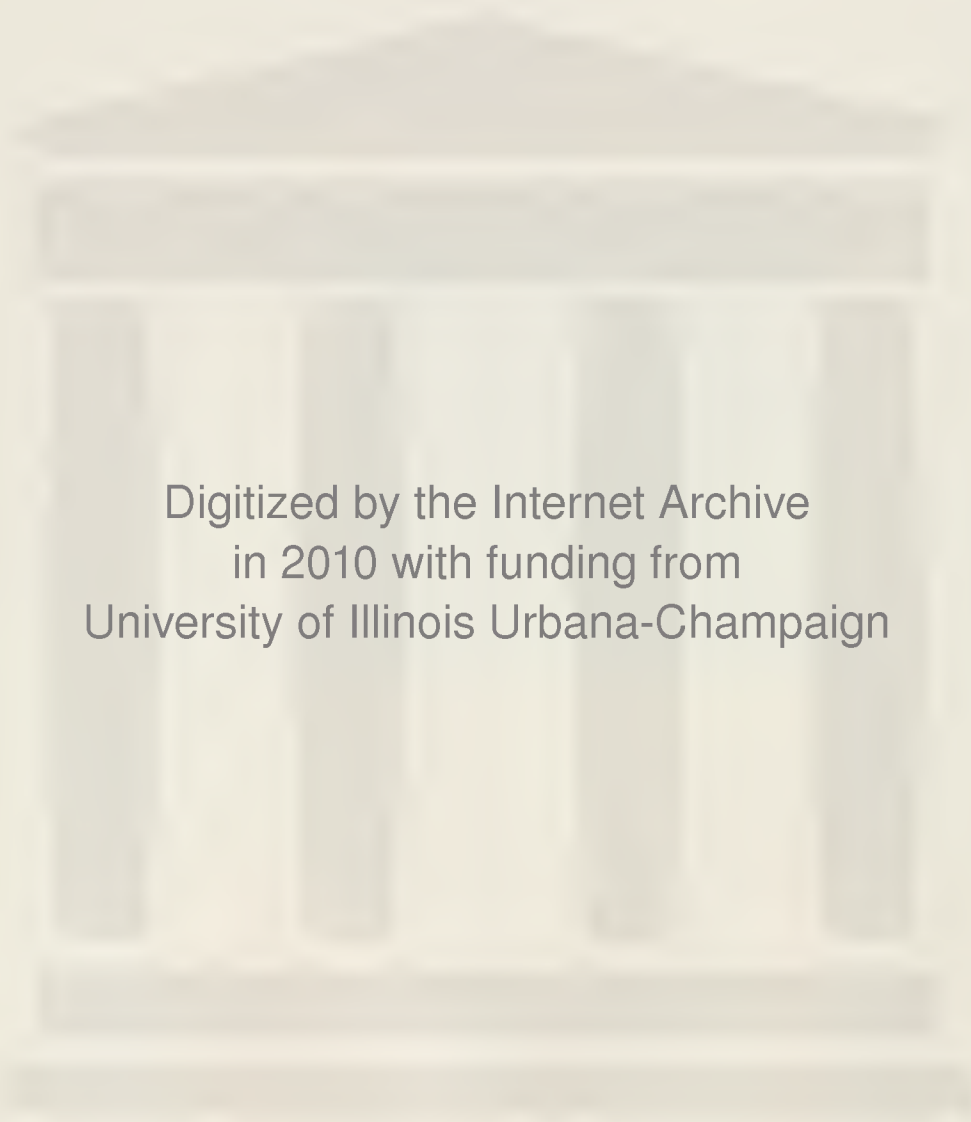
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MULTINATIONAL CORPORATIONS, TECHNOLOGY TRANSFER, AND THE DEVELOPING COUNTRIES: An Introductory Bibliography

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MULTINATIONAL CORPORATIONS, TECHNOLOGY TRANSFER, AND THE DEVELOPING COUNTRIES: AN INTRODUCTORY BIBLIOGRAPHY*

by

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1st Bibliography**

American Academy of Political and Social Science. The Multinational Corporation. The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972.

Bergsten, C. Fred. "The Threat from the Third World," Foreign Policy, No. 11, Summer 1973, pp. 102-124.

Blake, David H. "Corporate Structure and International Unionism," Columbia Journal of World Business, March-April 1972, pp. 19-26.

Boddewyn, Jean and Etienne F. Cracco. "The Political Game in World Business," Columbia Journal of World Business, January-February 1972, pp. 45-56.

Evans, Peter B. "National Autonomy and Economic Development: Critical Perspectives on Multinational Corporations in Poor Countries," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds, Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 325-342.

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*This bibliography was developed in connection with a recent paper, "The Un-Holy Trinity: Multinational Corporations, Technology Transfer, and the Lesser Developed Countries," submitted to the Department of Political Science, Muhlenberg College, in partial fulfillment of the requirements for the degree of Bachelor of Arts, Spring 1974.

**For minimal review of topic, a listing of fewest possible sources annotated in 2nd bibliography.

Fink, Donald A. "The Role of the Multination Corporation in the Economic Development Process," M.S.U. Business Topics, Vol. 20, No. 4, Autumn 1972, pp. 59-62.

Hirschman, Albert O. "How to Divest in Latin America, and Why," in Barbara Ward, J. D. Runnals, and Lenore d' Anjou, eds., The Widening Gap: Development in the 1970's. New York: Columbia University Press, 1971, pp. 252-274.

Hoskins, William R. "The LDC and the MNC: Will They Develop Together?" Columbia Journal of World Business, September-October 1971, pp. 61-70.

Kindleberger, Charles P., ed. The International Corporation: A Symposium. Cambridge, Massachusetts: MIT Press, 1970.

Miller, Authur Selwyn. "The Global Corporation and American Constitutionalism: Some Political Consequences of Economic Power," The Journal of International Law and Economics, Vol. 6, No. 2, January 1972, pp. 235-246.

Moran, Theodore H. "Transnational Strategies of Protection and Defense by Multinational Corporations: Spreading the Risk and Raising the Cost for Nationalization in Natural Resources," International Organization, Vol. 27, No. 2, Spring 1973, pp. 273-287.

Perlmutter, Howard V. "The Multinational Firm and the Future," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 139-152.

_____. "Some Management Problems in Spaceship Earth: The Megafirm and the Global Industrial Estate," address to the Academy of Management Symposium (mimeograph) on "Managing Complex Organizations," Cincinnati, Ohio, August 26, 1969.

_____. "The Tortuous Evolution of the Multinational Corporation," Columbia Journal of World Business, January-February 1969, pp. 9-18.

United Nations Department of Economic and Social Affairs. Multinational Corporations in World Development. New York: United Nations, 1973.

Vagts, Detlev F. "The Global Corporation and International Law," The Journal of International Law and Economics, Vol. 6, No. 2, January 1972, pp. 247-262.

Vernon, Raymond. Sovereignty at Bay: The Multinational Spread of U.S. Enterprise. New York: Basic Books, 1971.

_____. "The Multinational Enterprise: Power vs. Sovereignty," Foreign Affairs, Vol. 49, July 1971, pp. 736-751.

2nd Bibliography*

Alger, Chadwick F. "The Multinational Corporation and the Future International System," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 104-115.

A general summary and criticism of predictions by others, notably Vernon and Perlmutter. "The future international system will be composed of large regional states, with increasing bipolarization between rich and poor regions. The major countervailing force, global, functional, intergovernmental organizations, will probably not be able to prevent this trend because of the unwillingness of the rich superpowers to permit these organizations to be responsive to the demand (for assistance rather than regulation) of the less developed countries."

American Academy of Political and Social Science. The Multinational Corporation. The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972.

An excellent volume with thirteen articles relevant to the general topic of the multinational corporation, divided into four sections: the implications for the industrial system, the impact on the nation-state, the consequences for the international system, and the future of multinational firms.

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*Material directly pertinent to the topic.

Behrman, Jack N. "Can Governments Slay the Dragons of Multinational Enterprise?" European Business, Winter 1971, pp. 53-60.

Points out the differences between international holding companies (IHCs), and multinational corporations (MNCs). The first is the "classical" form of direct foreign investment, the second a more modern form with differing implications for the nation-state. Host governments are allowed three alternatives: restriction, competition, or harmonization of policy with other sovereign states.

_____. "Is There a Better Way for Latin America?" Columbia Journal of World Business, November-December 1971, pp. 61-71.

Examines Latin American policy toward the multinational corporations, noting particularly the role of the military as an obstacle to regional integration through the MNCs. Emphasizes the importance of equity as a new criterion for the allocation of resources, rather than efficiency. Defines meaning of equity for Latin American governments as being not only "a 'just distribution' of benefits of industrial advance, but also as an acceptable sharing of participation in the process of industrial and agricultural growth. This means a diversity of employment along with adequate levels of employment; it means a role in the development and design of industrial processes and products; it means a sharing in the technological advances; it means a sharing in decision-making; and in many instances, it means no significant drain on foreign exchange resources of the country."

_____. "The Multinational Enterprise: Its Initiatives and Governmental Reactions," The Journal of International Law and Economics, Vol. 6, No. 2, January 1972, pp. 215-233.

Reiterates distinction between classical form of direct foreign investment, the international holding company, and the MNC. Indicates that the predominant form of investment in Latin America is of the classical type, not of the multinational sort. Notes that the potential of MNCs for internationally integrating the world markets must be judged in light of its unfavorable impact on sovereignty and local aspirations of nation-states. Questions legitimacy of MNCs power, as well as its sense of responsibility to individual governments or even to people. Notes that U.S. government policy divisions inappropriate (ennumerates agencies independently

concerned with the regulation or supervision of various aspects of MNC operations), and examines the three alternative courses of action open to host governments. Ennumerates types of restrictions possible, and gives specific examples of what could be considered "good" corporate behavior. Lists areas (taxation, extra-territorial jurisdiction, etc.) requiring harmonization of government policies on an international basis.

Bell, Daniel. The Coming of Post-Industrial Society: A Venture in Social Forecasting. New York: Basic Books, 1973.

Where reality was once nature, it became technics. Now Bell maintains that reality is primarily manifested in the social world. He examines the development and trends of modern society, investigating the interactions among technocrats, managers, the military, politicians, and labor leaders. The group is the focal point of society, and the corporation will be socialized away from its prime concentration on profits, growth, or efficiency, toward an acceptance of its responsibilities (to members and the community) as a major social institution.

_____. "The Disjuncture of Culture and Social Structure: Some Notes on the Meaning of Social Reality," Daedalus, Winter 1965, pp. 236-50, reprinted in Jack D. Douglas, ed., The Technological Threat. Englewood Cliffs, New Jersey: Prentice-Hall, 19 , pp. 107-121.

Criticizes the formalization by social science of social processes, suggesting that modes of experience must be examined as the mediators between social structure and culture. "Social perceptions are shaped, often unconsciously, by modes of experience." Discusses disjunctions between 1) role and symbolic expression, 2) role and person, 3) metaphor and mathematics, and finally notes the "eclipse of distance" and consequent destruction of "rational" cosmology with its sense of time and distance.

Bell, Daniel. "A System of Social Accounts," in Richard Kostelanetz, ed., Beyond Left and Right: Radical Thought for Our Times. New York: William Morrow and Company, 1968, pp. 102-107, excerpted from "Notes on the Post-Industrial Society (I)" in The Public Interest, No. 7, Spring 1967.

Goals of his system: 1) the measurement of social costs and net returns of innovations, 2) the measurement of social ills (such as crime and family disruption), 3) the creation of "performance budgets," in areas of defined social need (such as housing and education), and 4) provision of indicators of economic opportunity and social mobility.

Bergston, C. Fred. "The Threat from the Third World," Foreign Policy, No. 11, Summer 1973, pp. 102-124.

Excellent article outlining nature of lesser developed countries' (LDCs) leverage on more developed countries (MDCs), particularly the United States. Points out that in the near future the LDCs will 1) recognize economic and social development as their first priority, 2) demand economic development beyond mere GNP measures (such as increased self-sufficiency, and improved infrastructure), and 3) demand autonomy from transnational influences in planning and executing their development. LDC leverage is significant; if fraustrated, LDCs could, in natural resources, withhold raw materials, raise prices, or use profits to disturb international monetary system. Regarding U.S. investments, they could expropriate, tax, limit profit repatriation, or insist on local participation. They could repudiate their considerable debts to the U.S., cut prices of their manufactured exports, or create pollution havens for competing companies. MDCs must begin to take LDCs seriously, and 1) agree on hands-off policy in terms of security, 2) liberalize trade and aid (drop trade barriers, ease and multinationalize aid), 3) prepare for joint defense against pressure from LDC cartels, 4) revise monetary system to defend against speculation, and 5) introduce LDCs into positions of international responsibility.

Blake, David H. "Corporate Structure and International Unionism," Columbia Journal of World Business, March-April 1972, pp. 19-26.

Outlines the possible union strategies: 1) information exchange, 2) consultation, 3) co-ordination of policies and tactics, and 4) drive for international, regional, or national controls on multinational corporations. Outlines characteristics of MNCs inducive of international union co-operation: 1) distant decision-making regarding wages, 2) world perspective on management, 3) ease of substitutes being utilized, and 4) distance of decision making regarding production locations. Emphasizes future and present role of the international trade secretariats (and lists the most active).

Boddewyn, Jean and Etienne F. Cracco. "The Political Game in World Business," Columbia Journal of World Business, January-February 1972, pp. 45-56.

Excellent articles outlining the four roles of governments: as guardians, innovators, supplemental agents, and correctors of the economic system. Provides detailed matrix of the relationship of various corporate functions to goals of national interest, national sovereignty, and national identity considerations. Outlines strategic alternatives for MNC when faced with local demands for participation, for creation of mass market. Concerning the art of negotiation, suggests offensive measures: 1) examination of role of private enterprise in particular nation's development, 2) appointment of top executive (not from public relations) to handle government laison, 3) participation, preferably through local trade associations, in the development and application of public policy in the host country. Suggests defensive measures: 1) limitation of vulnerability (raise costs of nationalization by increasing interdependence of subsidiaries), 2) establishment of low profile, 3) development of local ties and allies (suppliers, consumers, bankers), and 4) support of interests of local administrators and policy makers (such as the training of workers) and good publicity concerning such efforts.

Brown, Lester R. "The Multinationals and the Nation-State," VISTA, June 1972?, pp. 15, 50-53.

Notes scope of multinational corporations' power relative to budgets of other nation-states. Points out differences between industrial complimentation agreements and regional economic groups. Notes need for collective MNC action (or external regulation) regarding social problems and so on.

Burchill, C. S. "The Multi-National Corporation: An Unsolved Problem in International Relations," Queen's Quarterly, Vol. 77, Spring 1970, pp. 3-18.

Discusses economic consequences of foreign investment, and politically consequent tendencies; laments lack of international law for multinational corporation, and suggests U.N. as means of filling vacuum. Specified four conditions for ameliorating exploitation of LDCs by MNCs and vice-versa, and outlines benefits to each party if conditions accepted.

Business Week. "Commentary/Foreign: The Questions the ITT Case Raises," March 31, 1973, p. 42.

Looks at Senator Frank Church (D-Idaho) and his sub-committee on the multinational corporation, discusses need for close government and business strategic relationship, and code of law for the MNC.

Deutsch, Karl. "The Politics of Power and the Politics of Growth," in The Nerves of Government. Glencoe: Free Press, 1963, reprinted in Richard Kostelanetz, ed., Beyond Left and Right: Radical Thought for Our Time. New York: William Morrow and Co., 1968, pp. 377-387.

Duren, Albrecht. "Multinational Companies as a Political Problem," The World Today, November 1972, pp. 473-482.

Notes lack of international law regarding the MNC, mentions one specific pragmatic solution, outlines common host country objections to MNC power.

Evans, Peter B. "National Autonomy and Economic Development: Critical Perspectives on Multinational Corporations in Poor Countries," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 325-342.

Excellent article pointing out the manner in which the MNC reduces economic and political autonomy and benefits of the LDCs. Very convincing ennumeration: withdrawal of capital, reduction of political efficacy in redistributing wealth, introduction of inappropriate technologies and lifestyles and development strategies, further separation of the elites from the masses; suggests that state must assert autonomy, that this implies (dictates!) increased state control of industry and foreign economic relations, and that only the modernization of public bureaucracies will allow this effort to succeed.

Fatouros, A. A. "The Computer and the Mud Hut: Notes on Multinational Enterprise in Developing Countries," Columbia Journal of Transnational Law, Vol. 10, No. 2, Fall 1972, pp. 325-363.

After rehashing in an average way the various definitions of the MNCs, and the nature of their activities in the LDCs, Fatouros goes on to summarize and comment on the legal alternatives for control of the multinational corporation: 1) unilateral action by host or home country; 2) bilateral action, by two homes, two hosts, or host and home; 3) multilateral action by universal groups (hosts and homes) or non-universal groups (homes, hosts).

Fink, Donald A. "The Role of the Multinational Corporation in the Economic Development Process," M.S.U. Business Topics, Vol. 20, No. 4, Autumn 1972, pp. 59-62.

Excellent summation and ordering of LDC perspectives and the ground rules which MNCs must follow in dealing with LDCs in the future. Lists types of projects most likely to be welcome in LDCs.

Gabriel, Peter P. "Adaptation: The Name of the MNC's Game?" Columbia Journal of World Business, November-December 1972, pp. 7-14.

Disagrees with Perlmutter and Vernon -- suggests that MNCs will lose a substantial portion of their power, and will become primarily service (contract) companies.

_____. "MNCs in the Third World: Is Conflict Unavoidable?" Harvard Business Review, July-August 1972, pp. 93-102.

Suggests two conditions for new rapport between MNCs and LDCs: 1) reduction of risk, and 2) honoring of all agreements by the LDCs. One suggested innovation: an international financing agency.

Gilpin, Robert. "The Politics of Transnational Economic Relations," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 48-69.

Makes the basic point that it is the political structure of the world that sets the stage for economic relations. Points out the importance of the Pax Britannica (enforced by British naval power) and draws analogy to Pax Americana. Uses as examples of the primacy of political considerations the not-so-economic relationships the U.S. holds with West Germany (troops in exchange for access to EEC) and Japan (access to U.S. markets in exchange for military bases), and denigrates political impact of MNC on any other than a domestic basis, and then only as one of many interest groups.

Hirschman, Albert O. "How to Divest in Latin America, and Why," in Barbara Ward, J. D. Runnals, and Lenore d'Anjou, eds., The Widening Gap: Development in the 1970's. New York: Columbia University Press, 1971, pp. 252-274.

Notes role of MNC as mixed blessing in LDCs, asserts the increasing detriment to LDC economies of MNC control and ownership (following an initial advantage). Believes the art of liquidation should be revived if damaging expropriations are to be avoided -- suggests an "inter-american divestment corporation" which would be responsible, and an intermediary agency between governments and the MNCs, for establishing "fair prices," holding shares until governments or suitable buyers can be found (not the already wealthy elites). Strongly supports the built in divestment schemes which many Latin American countries are beginning to dictate, in which either the time span is limited (in which case the company may want to extract as much profit as possible), or the profit is set (in which case the company may desire to reinvest its profits for a number of years, thereby enjoying control for as long as it doesn't overrun profit figure), after which time the MNC may remain as a minority stockholder.

Holtzmann, Howard M. "Long Term Multinational Disputes: A Challenge to Arbitration," Arbitration Journal, Vol. 24, No. 4, 1969, pp. 234-238.

Suggests complexity of contemporary disputes, given different institutional arrangements, and need for all international arbitration associations to simplify their rules.

Hoskins, William R. "The LDC and the MNC: Will They Develop Together?" Columbia Journal of World Business, September-October 1971, pp. 61-70.

Ennumerates eight causes of LDC nationalistic/xenophobic reaction against the multinational corporation: 1) similarities to colonial "we the people, they the exploiters," 2) expressions of superiority by MNCs or their representatives, 3) foreign allegiance of MNCs or their representatives, 4) visible success of MNCs (and profit) where local entrepreneurs either failed, or took no initiative, 5) minority group behavior of typical overseas executive, 6) initial suspicion of complex foreign organization exerting influence on local affairs, exacerbated by local political demagogues, 7) inability of LDC to join wealthy ranks of MDCs, of which MNCs are most visible reminder, and 8) "exploitation complex" fed by impact of MNC on use of local capital, repatriation of profits, overwhelming of local entrepreneurs.

Huntington, Samuel P. "Transnational Organizations in World Politics," World Politics, Vol. 25, No. 3, April 1973, pp. 333-368.

Contrasts international with transnational organizations. Generally a simple summary of Nye and Keohane, 1972, but some good comments on MNC/LDC relations: feels are complimentary rather than oppositional in that each performs different functions and controls different resources -- it is not a matter of one trying to obliterate the other, but rather of both attempting to reach a consensus on their mutual objectives. Uses this line of thought to criticize comments by others on impending death of the nation-state.

Hymer, Stephen. "The Efficiency (Contradictions) of Multinational Corporations," The American Economic Review, Vol. 60, No. 2, May 1970, pp. 441-453.

As summarized by Professor McKinnon in discussion following presentation: 1) the nature of technical change has been such as to make the growth of large corporations optimal within developed nation-states, 2) organizations have great competitive advantages in transfering technology efficiently to the LDCs by operating directly there, 3) however, there are contradictions and perversities in the transfer process which individual host governments cannot deal with adequately because of their limited jurisdictions and small size. Domestic monetary and fiscal policy can be easily subverted by international flows of

capital and commodities (such as transfer pricing, excess royalty payments, license fees), and domestic entrepreneural development may be retarded; and 4) there is a need for a worldwide bureaucracy exercising full legal control over the multinational corporations. Alternatively, MNC access to LDC markets could be limited.

Jay, Antony. Management and Machiavelli: An Inquiry Into the Politics of Corporate Life. New York: Holt, Rinehart and Winston, 1967.

Very enjoyable reading. Draw credible comparison between the corporation and Machiavelli's pragmatist political state. Using historical examples contrasted with personal or commonly known corporate experience, drew close analogy in many respects. Spent much time discussing the importance of creativity and the need for leaders combining both yogic and commissarish qualities.

Johnson, Harry G. "The Multi-National Corporation as an Agency of Economic Development," in Barbara Ward, J. D. Runnals, and Lenore d'Anjou, eds., The Widening Gap: Development in the 1970's.

Specifies contributions which corporations make to development, explains why uneven development is likely to result (concentration of MNCs in extractive or high technology areas, role of MNC as profit-making institution); notes direct and indirect impact of MNC on development of local economy: training of personnel, development of local suppliers, education of local consummers, contribution to government revenues; laments the ignorant demands of LDC governments for "fair wages" unsuitable to local conditions, andwill discourage logical labor-intensive development.

Kaiser, Karl. "Transnational Relations as a Threat to the Democratic Process," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 356-370.

"The intermeshing of decisionmaking across national frontiers and the growing multinationalization of formerly domestic issues are inherently incompatible with the traditional framework of democratic control." Kaiser lists three types of multinational politics: multibureaucratic decisionmaking, transnational politics, and multinational integration. He suggests that not

only must Congress and parliaments re-assert their authority (a la Galbraithian reforms) but that they must do this in every conceivable issue area, allowing nothing to be relegated to the executive arena. Further, the society must be mobilized, or the structural change will be irrelevant.

Kapoor, Ashok. "Multinationals in Asia: The Understanding Gap," Far Eastern Economic Review, September 16, 1972, pp. 41-43.

Points out specific issues and perspectives in Asia (in a very summary way), e.g. notes lack of business background of most Asian politicians (in obvious contrast to the United States, where the MNC mind-set is ingrained in the government apparat). Notes three areas of conflict between MNCs and Asian LDCs: 1) pace of introducing joint ventures, 2) role of government in joint ventures, and 3) question of conflicting MNC responsibilities to shareholders and host governments.

Kindleberger, Charles P., ed. The International Corporation: A Symposium. Cambridge, Massachusetts: MIT Press, 1970.

An excellent collection of articles covering all aspects of the multinational corporation. A good basic text, complimenting Vernon, The Annals, and the U.N. report.

Krause, Lawrence B. "The International Economic System and the Multinational Corporation," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 93-103.

Reviews Kindleberger's analogy of the role of the MNC in the world economy as contrasted with the role of the domestic American corporation in the economic interaction of the states of the U.S. Discusses Vernon's concept of "product cycle" as a more realistic economic theory of international trade, and notes the initiatives and consequences of MNC technology transfer. Finally, points out manner in which MNC integrates the world market, maximizing factor efficiencies and reducing wage differentials, while at the same time undermining the sovereignty of national governments trying to assert independent economic policies. Concludes by calling for new arrangements within old Bretton Woods system, and the establishment of an international regulatory agency for MNCs.

Krosigk, Friedrich Von. "Marx, Universalism, and Contemporary World Business," International Studies Quarterly, December 1972, pp. 530-549.

Very interesting; provided background material relating to Marx's theory of universalism and Lenin's theory of neo-imperialism to the rise and potential of the multi-national corporation. Weak ending with ambivalent conclusion, but some good thoughts in background, particularly regarding role of "bribed" (unconscious) workers and the satellite LDCs forecast by Lenin.

Kuhns, William. "A New Manichaeism: Jacques Ellul," in William Kuhns, The Post-Industrial Prophets: Interpretations of Technology.

Good discussion of Jacques Ellul's Technological Society, Propaganda, and his recent paper "Technological Society," in which he presents five pre-conditions for the amelioration of the conditions created by the self-perpetuating technological ethos he described in Technological Society: 1) diagnosis, 2) destruction of myth, 3) learning of detachment and humor regarding technology, 4) return to philosophy and metaphysics, and 5) continuing dialogue between the "enlightened" and the technicians. He does not suggest any constructive solutions.

Litvak, I. A. and C. J. Maule. "The Multinational Corporation: Some Perspectives," Canadian Public Administration, Vol. 13, Summer 1970, pp. 129-139.

Examines economic and political-legal challenges posed by the MNC to the sovereignty of the nation-states: in the economic arena the MNC can control growth of a nation-state to a large extent by its decisions regarding the extent of initial and recurrent direct investment in the affiliate. Stability can be affected through the impact the MNC has on monetary and fiscal policy, which it can subvert, and its impact on the balance of payments and the stability of its employment policies. In the political-legal arena, the role of the MNC as a manifestation of home government prejudices (trading with the enemy) and policies (anti-trust) can cause serious questions to arise regarding the infringement on the host country's sovereignty.

Litvak, I. A. and C. J. Maule. "The Multinational Firm and Conflicting National Interests," Journal of World Trade Law, 1971?, pp. 309-318.

As key variables in assessing the impact of host government policies on multinational corporations, Litvak and Maule isolate: 1) the corporate philosophy of the parent company (regarding, for instance, exports, regional, international orientations), 2) the organizational relationship between the parent and the subsidiary (branch, wholly-owned, partly-owned, joint venture, contractual arrangement), and 3) the degree of participation in management and equity by nationals of the host country. A matrix composed of the first two variables suggested fifteen degrees of alternative action.

Matthews, Roy A. "The International Economy and the Nation-State," Columbia Journal of World Business, November-December 1971, pp. 51-60.

The MNC must grant each LDC some autonomy -- governments will continue to negotiate with each other. Discusses supra-national chartering agency.

Mendershausen, Horst. "Transnational Society vs. State Sovereignty," Kyklos (Bern), Vol. 22, No. 2, 1969, pp. 251-273.

Very interesting. Notes post-WWII continuing duality of transnational society and sovereign states, contrasts medieval and 19th century harmonization models with the U.S./U.S.S.R. bipolar cold war camp, what HM calls the latest attempt at harmonization. Explores pattern, origin, management, and decay of system, posits five modern alternatives: 1) super-power duumvirate, 2) world empire, 3) self-government of transnational economy, 4) regional integrations, and (in his opinion the most feasible) 5) prudent staecraft.

Miller, Arthur Selwyn. "The Global Corporation and American Constitutionalism: Some Political Consequences of Economic Power," The Journal of International Law and Economics, Vol. 6, No. 2, January 1972, pp. 235-246.

Declaring nation-states to be obsolete, went on to enumerate ten points of contention demonstrating the impact of the MNC in public policy and foreign affairs: challenge of MNC for dominance, breakdown of nation-state as social order, rise of group as basic social unit in modern society, recognition of governing power of MNC and other large institutions, the ramifications this last has for the sharing of sovereign powers by the state government and the MNC, and the questions it raises about the political legitimacy lacking from the MNC, the increasing transcendance of corporate loyalties over national loyalities. Good summary from a legal mind-set.

Millstein, Ira M. "Multinational Operations Under Changing U.S. Economic Policies," The Conference Board Record, August 1972, pp. 51-54.

Outlines the major considerations in international trade and investment: 1) the humanist and legal problem, 2) the effect of multinational operations on the American employment situation, and the balance of payments, 3) trade barriers, 4) the legislation (protectionist) proposals, and 5) monetary fund events and other international policies. Suggests that antitrust legislation an impediment and possible threat to the international success of the U.S.; we must first select goals, and then modify or dispose of anti-trust policies as appropriate.

Moran, Theodore H. "Transnational Strategies of Protection and Defense by Multinational Corporations: Spreading the Risk and Raising the Cost for Nationalization in Natural Resources," International Organization, Vol. 27, No. 2, Spring 1973, pp. 273-287.

A very instructive tale contrasting Anaconda's and Kennicott's strategies in Chile. Kennicott, by selling 51% equity interest to Chile, using those funds to expand, borrowing from international banks, selling output in advance to international banks, insuring the sale with AID against expropriation, forcing Chile (not a lesser agency or company) to unconditionally guarantee the sale and loan, managed to keep company capital out while increasing the assessible value of the Chilian operations, line up international outrage against expropriation and in support of compensation well in advance, and made the cost of nationalization as expensive as possible for Chile, and as beneficial as possible for Kennicott.

Nanus, Burt. "The World of Hunger -- A Management Challenge," Columbia Journal of World Business, January-February 1971, pp. 51-58.

Forecasts, with statistical support, the increase of population and commonsurately widespread starvation and malnutrition in the LDCs, as well as related political and social instability as fraustration of the have-nots incites them to revolution or aggression against the haves. Reviews the state of technological, industrial, economic, and cultural arts as they apply to the problem, and concludes that only through a massive integration program emphasizing management's pragmatic perspectives could anything possibly be achieved. Goals: to develop more complete information, to understand and perhaps model the interrelationships of the arts above, and to develop management and mass media communication technique capable of instituting plans.

Nisbet, Robert. "The Impact of Technology on Ethical Decision-Making," in Robert Lee and Martin E. Marty, eds., Religion and Social Conflict. New York: Oxford University Press, 1964; reprinted in Jack D. Douglas, eds., The Technological Threat. Englewood Cliffs, New Jersey: Prentice-Hall, 19 , pp. 39-54.

Good essay, treating the impact of technology in 1) generalizing norms, 2) abstracting scientific norms from the "moral-personal" context, 3) individuating man away from small groups, 4) rationalizing and standardizing behavior, eliminating the need for individual considerations, the need for ethical decision-making. When technology becomes pervasive and institutionalized, then arena for institutional or individual conflict (vital to ethical decision-making) is eliminated.

Nye, Joseph S., Jr. "Multinational Enterprises and Prospects for Regional and Global Political Integration," in The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 116-126.

Provides measures for regional economic, social, and political integration, reviews Lindberg's scale for measuring the locus of governmental activity, and then explores impact of the MNC on seven integrative process mechanisms and structural and perceptual conditions. While Nye acknowledges the utility of the MNC in transfering technology, allocating resources, et al; he points out differences in responses available to LDCs vs. MNCs--LDCs are more likely to lose their sense of identity and suffer from distributive inequalities (reinforced gap between elites and peasants).

Nye, Joseph S., Jr. and Robert O. Keohane, eds. "Transnational Relations and World Politics," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics.

A collection of essays, the volume also includes an introduction and a conclusion by Nye and Keohane. In the Introduction they ask the questions: 1) what seems to be the net effect of transnational relations on the abilities of governments to deal with their environments, 2) what are the implications of transnational relations for the study of world politics, 3) what are the effects of transnational relations on the allocation of value and specifically on asymmetries or inequalities between states? 4) what are the implications for U.S. foreign policy? and 5) what challenges do transnational relations raise for international organizations? They summarize the five evident effects of transnational relations on world politics as: 1) attitude changes, 2) international pluralism, 3) increase in constraints on states through dependance and interdependance, 4) increases in ability of certain governments to influence others, and 5) the emergence of autonomous actors with private foreign policies that may deliberately impose or impinge on state policies.

In the Conclusion they indicate that on the basis of the material in the volume, the state-centric model which maintains that, 1) in direct confrontation with transnational actors the governments prevail, 2) transnational relations have always existed, and 3) transnational relations do not significantly affect "high politics," is effectively refuted. They present a matrix of thirty-six possible transnational relationships among states, government subunits, international organizations, IO subunits, transnational organizations, and TO subunits. They conclude that the major problem facing world politics is the continuing asymmetry of allocation of resources and values, which is in many ways reinforced by western-oriented or nurtured transnational organizations, notably the multinational corporation.

Perlmutter, Howard V. "The Multinational Firm and the Future," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 139-152.

Good summary of visible trends, with imaginative extrapolation of potential effects: the creation of global infrastructures, patent authorities, schools, cities, banks, the U.N. corporation. Offered alternative to MNC by predicting the "global (or regional) industrial system constellations," (GISCs and RISCs), but offered little support for his conclusion that these could combine in a loose coalition capable of rivaling the MNC. Forecast development of a global MNC "ideology," with appropriate counter-ideologies a consequent.

_____. "Some Management Problems in Spaceship Earth: The Megafirm and the Global Industrial Estate," address to the Academy of Management Symposium (mimeograph) on "Managing Complex Organizations," Cincinnati, Ohio, August 26, 1969.

Comments on trends of MNC over the nation-state, the stages through which firms will move, the advantages of each stage as well as disadvantages and other considerations, and the problems which must be resolved before moving on to the final stage. A very organized presentation of some of Perlmutter's landmark ideas.

_____. "The Tortuous Evolution of the Multinational Corporation," Columbia Journal of World Business, January-February 1969, pp. 9-18.

Possibly the first public expression of Perlmutter's original contribution to the subject: the distinction between and description of geocentric, polycentric, and ethnocentric MNCs, and comments on the costs, risks, and payoffs of each. Some comment on the nature of geocentric man.

Ray, Dennis M. "Corporations and American Foreign Relations," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 80-92.

Differentiates between crisis, calculated, and axiomatic decisions on the part of the government. Axiomatic decisions, including the "broader assumptions about international society, the role of one's state, etc. are more subject to the pervasive influence of the corporation." Asks ten very interesting and guiding questions about nature and scope of MNC influence relative to branches of government and other interest groups...an excellent table on page 85 charts formal/

informal, direct/indirect channels of corporate influence -- notes importance of government recruitment of businessmen into high policy councils, and the consequent pre-disposed mind-set of the councils that this will bring about.

Robinson, Richard D. "The Developing Countries, Development, and the Multinational Corporation," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 67-79.

Ennumerates ten dichotomies in host countries economic policy, notes tendencies of market in LDCs leading to traditional dispute of private sector, lists reasons MNC induced to centralize; and supports the fade-out notion as distated by the Andean Pact. Proposed very nebulous guidelines for a "general agreement on capital and technology transfer."

Rubin, Seymour J. "The International Firm and the National Jurisdiction," in Charles P. Kindleberger, ed., The International Corporation: A Symposium. Cambridge, Massachusetts: MIT Press, 1970, pp. 179-204.

Discusses anti-trust and security considerations in home countries' relationships with multinational corporations; expresses doubt as to the viability of European company law, acceptance of Calvo Clause, or the institution of international forums. Ends rather weakly on a "time will tell" note forecasting maturing of MNCs into "good citizens."

Scheman, L. Ronald. "The Multinational in a New Mode: Ownership by the Developing Countries," International Development Review, 1973/2, pp. 22-24.

Suggests that LDC ownership of a locally based MNC (more like a regional corporation) would be a means of retaining sovereignty and restraining MNC. Initial steps required would include: 1) official recognition and promotion of local multinational ownership through the establishment of a legal framework permitting the flow between countries of operating capital and material resources for qualifying corporations; 2) international credits for nationally owned businesses in different countries that wish to join together in multinational production or marketing ventures; 3) financial protection and guarantees for the multinational investment of citizens of developing countries; 4) duty-free or preferential passage of equipment required for inter-company transactions for qualified multinational operation and for their end products; revised criteria

for "domestic" corporations in the developing countries, allowing multinationals that are majority owned by citizens of a group of developing countries to enjoy the same privileges as domestic companies' and 6) establishment of required agencies that will facilitate the transfer of shares and provide the necessary liquidity in the capital markets to make the ownership more attractive.

Schollhammer, Hans. "Organization Structures of Multinational Corporations," Academy of Management Journal, September 1971, pp. 345-365.

Examines the basic orientation, structure of headquarters and field headquarters relationships, degree of decentralization, standardization of procedures, and organizational flexibility for a few firms. Concludes that 1) international vs. global orientation not particularly inportant, 2) national character rather than industrial environment determines organizational preferences, and 3) global corporations become too complex, too inflexible, to seriously dominate the entire market.

Sethi, S. Prakash and Richard H. Holton. "Country Typologies for the Multinational Corporation: A New Basic Approach," California Management Review, Vol. 15, No. 3, Spring 1973, pp. 105-118.

Develops empirically determined typologies of different countries of the world, based on objective clusters of variables which define national differences -- objective: to guide MNC marketing strategy and organization. Clusters: 1) aggregate production and transportation, 2) affluence and life styles, 3) purchasing power of money, 4) international trade, 5) economic advancement, 6) education, 7) political heterogeneity, and 8) health and entertainment.

Shetty, Y. K. "Ownership, Size, Technology, and Management Development: A Comparative Analysis," Academy of Management Journal, December 1971, pp. 439-449.

"The study deals with some of the problems MNCs face in transferring management know-how to the developing area. The anaysis shows that certain variables such as ownership, company size, nature of technology, and product market characteristics seem to have an influential bearing on the management transfer process."

Skjelsbaek, Kjell. "The Growth of International Non-Governmental Organization in the Twentieth Century," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 70-92.

In assessing the NGO world, must consider 1) domain, 2) number of national representations, 3) scope and intensity of NGO activity, 4) interconnection of NGO world, 5) distribution of NGOs by field of activity, and 6) distribution of NGOs across countries. KS finds that Northwest (North America, Western Europe, Australia, Cyprus, Israel, Japan, New Zealand, and South Africa) over-represented in NGOs, while Communist Asia, Western Asia, Eastern Europe, Arab world, and Black Africa are generally under-represented. Latin America was found normative; concludes of basis of his data that 1) number of NGOs increasing, 2) NGO activities increasingly in highly politicized fields, 3) as NGOs seem nurtured by high technology, pluralistic ideology countries, they are, at this time, only reinforcing the gap between NDCs and LDCs.

Straus, Donald B. "Arbitration of Disputes Between Multi-national Corporations," Arbitration Journal, Vol. 24, No. 4, 1969, pp. 228-234.

Mentions concerned international associations, notably the Union of International Associations and the International Chamber of Commerce, and notes some of the pre-requisites for the establishment of a viable international arbitrations association: it must retain the economical features of arbitration, must provide prompt service and render decisions with speed, must have a panel of internationally high prestige and wide recognition, must be adequately financed, and must provide efficient and sophisticated administration.

Strong, Maurice F. "The Quality of Life," Columbia Journal of World Business, May-June 1972, pp. 5-11.

Discusses ramifications of U.N.'s Stockholm conference on the human environment, and notes need for international co-operation and suggests that only the U.N. has the machinery.

Turner, Louis. "Multinationals, the United Nations, and Development," Columbia Journal of World Business, September-October 1972, pp. 12-22.

Described the Industry Cooperative Program (ICP) administered by the FAO.

United Nations Department of Economic and Social Affairs. Multinational Corporations in World Development. New York: United Nations, 1973, ST/ECA/190.

The definitive summary, touching on every imaginable base. Extensive tables and footnotes, as well as appendix containing appropriate excerpts from most relevant U.N. resolutions dealing with the topic.

Vagts, Detlev F. "The Global Corporation and International Law," The Journal of International Law and Economics, Vol. 6, No. 2, January 1972, pp. 247-262.

Ennumerates, with appropriate legal references, the national legal claims of home and host countries; for the home, these world include the tax problem, anti-trust actions, and the legal basis (trading with the enemy, etc.) for home interference with subsidiaries of parent company. For host, questions of territoriality, sovereignty, and right to nationalize offensive enterprises in the face of home interference. Alternatives for future mechanisms include decentralization, restructuring of global corporations to make them responsive to other interests, chartering of global corporations, and creation of international information and/or regulatory agency.

Vernon, Raymond. "Multinational Business and National Economic Goals," International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 343-355.

Gives short shift to problems of LDCs in world context; emphasizes the benefits LDCs may derive from MNCs, and glosses over the impediments to growth demonstrated by Evans; suggests that in order to better enhance positive aspects of MNCs in world economics, advanced countries should limit national jurisdiction, co-ordinate national policies, sort out nationalities of subsidiaries (accept Calvo Clause), provide for international or multinational adjudication and enforcement; the LDCs are treated as a third party unsucceptible to international action, but for whom the U.S. should benignly revoke the Hickelocper amendment, accept the Calvo Clause, and begin substituting multilateral for bilateral assistance.

Vernon, Raymond. "The Multinational Enterprise: Power vs. Sovereignty," in Foreign Affairs, Vol. 49, July 1971, pp. 736-751.

A short version of the conclusions drawn in his book: Sovereignty at Bay. Introduces concept of product cycle, with its conclusion that MNC must continue innovating and organizing to keep ahead of local firms that rapidly acquire competing expertise -- notes loss of MNC position in extractive industries and potential for continuing leadership in manufacturing. Political questions include LDC demands for control, and MNC fears of political instability. Notes that contrary to popular academic opinion, MNCs are reluctant to utilize power of U.S. government. While local participation and eventual divesture are remedies to local sense of impotence, divesture might be detrimental to future operating position of the LDC. Doubts that nations will surrender to international organization the control that they are not willing to give to MNCs -- looks for rise of other countervailing institutions, such as labor. First question to be solved: equitable distribution by governments of tax revenues, next, question of jurisdiction over subsidiaries. Endorses Calvo Clause, calls for international adjudicatory council.

_____. Sovereignty at Bay: The Multinational Spread of U.S. Enterprises. New York: Basic Books, 1971.

Crammed with statistical and anecdotal evidence and examples, Vernon's book seems to cover all the bases; beginning with indepth looks at the extractive and manufacturing industries, he goes on to examine the particular nature of MNCs, their impact on home and host countries, and the alternatives for the future, including tentative solutions to the more pressing problems: taxation and extraterritorial jurisdiction. An essential text.

Walters, Robert S. "International Organizations and the Multinational Corporation: An Overview and Observations," The Annals of the American Academy of Political and Social Science, Vol. 403, September 1972, pp. 127-138.

Generally reviews existing interaction between international organizations (ICSID, ICFTU, UNIDO, UNCTAD, OECD, OPEC, ACM), and the multinational corporations. Notes reticence of LDCs in accepting intervention of international organizations substantially controlled by northwestern interests, and notes various other anti-global organizational influences -- blase U.S.A. and MNCs, banker mentality distrusting rhetorical U.N.; concludes that informal, multilateral agreement on anti-trust actions, tariffs, and taxes might be more likely and more feasible in terms of providing the least disturbance among the LDCs.

Waltz, Kenneth N. "The Myth of National Interdependence," in Charles P. Kindleberger, ed., The International Corporation: A Symposium. Cambridge, Massachusetts: MIT Press, 1970, pp. 205-223.

Contrary to popular opinion, believe that interdependence, properly understood, is on the decline. "The size of the two greatest powers gives them some capacity for control and at the same time insulates them to a considerable extent from the effects of other states' behavior. The inequality of nations produces a condition of equilibrium at a low level of interdependence."

Ward, Barbara and Rene Dubos. "Only One Earth: The Care and Maintenance of a Small Planet," Columbia Journal of World Business, May-June 1972, pp. 13-25.

Emphasized commercial habit of external diseconomies, and suggested that costs must be met through public action. Supported international research agency for pollution control.

_____, J. D. Runnals and Lenore d'Anjou, eds. The Widening Gap: Development in the 1970's. New York: Columbia University Press, 1971.

Another good basic collection of articles complementing the volume by Kindleberger, the one by Nye and Keohane, and the U.N. document.

Welles, John G. "Multinationals Need New Environmental Strategies," Columbia Journal of World Business, Summer 1973, pp. 11-18.

Good article, addressing three questions: 1) how can environmental dimension be injected into MNC management, 2) should MNCs take advantage of "pollution havens," and 3) what can MNCs do to stimulate uniformity in international pollution control.

Wells, Louis T., Jr. "The Multinational Business Enterprise: What Kind of International Organization?" International Organization, Vol. 25, No. 3, Summer 1971, reprinted in Joseph S. Nye, Jr. and Robert O. Keohane, eds., Transnational Relations and World Politics. Cambridge, Massachusetts: Harvard University Press, 1972, pp. 97-114.

Very general description of MNC, its growth and spread, and the rationale for area vs. product organizational structure overseas (as well as the general implications for the host and home countries). Introduction was best, summarizing concisely the manners in which multinational corporations bypass economic policies of governments, and exploit situations with serious restriction.

Wooton, Leland M. "The Multinational Corporation: Administering Development in a Global Political System," Management International, Vol. 11, Nos. 4 & 5, 1971, pp. 5-15.

Suggests that MNCs fill resource, foreign exchange, managerial, and technology gaps in LDCs. Does not consider problem in depth (profit drain, stifling of local talent?). Does mention "penetrated system" (Rosenau's term), i.e. each societies' actions and policies are influenced by extra-societal actors in today's world.

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